



03-24-04

TRANSMITTAL  
FORM

|                           |                |
|---------------------------|----------------|
| Application Serial Number | 10/603,064     |
| Filing Date               | June 24, 2003  |
| First Named Inventor      | Gillies        |
| Group Art Unit            | 1646           |
| Examiner Name             | Mertz, P.      |
| Attorney Docket No.       | LEX-010C1      |
| Confirmation No.          | 8576           |
| Patent No.                | Not applicable |
| Issue Date                | Not applicable |


## ENCLOSURES (check all that apply)

- |   |   |  |
|---|---|--|
| <input type="checkbox"/> Fee Transmittal Form (1 pg.)<br><input type="checkbox"/> Check Attached<br><input type="checkbox"/> Copy of Fee Transmittal Form<br><br><input type="checkbox"/> Amendment<br><input type="checkbox"/> Supplemental Preliminary<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets]<br><br><input type="checkbox"/> Petition for Extension of Time<br><br><input checked="" type="checkbox"/> Information Disclosure Statement<br><input checked="" type="checkbox"/> Form PTO-1449<br><input checked="" type="checkbox"/> Copies of IDS Citations (A41-A82; B58-B80; and C108-C195)<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Sequence Listing submission<br><input type="checkbox"/> Paper Copy/CD<br><input type="checkbox"/> Computer Readable Copy<br><input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Copy of the Notice to File Missing Parts<br><br><input type="checkbox"/> Formal Drawing(s)<br><br><input type="checkbox"/> Request For Continued Examination (RCE) Transmittal<br><br><input type="checkbox"/> Declaration and Power of Attorney<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Copy of the executed Declaration and Power of Attorney for Utility or Design Patent Application<br><br><input type="checkbox"/> Small Entity Statement<br><br><input type="checkbox"/> CD(s) for large table or computer program<br><br><input type="checkbox"/> Amendment After Allowance<br><br><input type="checkbox"/> Request for Certificate of Correction<br><input type="checkbox"/> Certificate of Correction (in duplicate) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences<br><br><input type="checkbox"/> Appeal Brief (in triplicate)<br><br><input type="checkbox"/> Status Inquiry<br><br><input checked="" type="checkbox"/> Return Receipt Postcard<br><br><input type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8<br><br><input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8<br><br><input type="checkbox"/> Additional Enclosure(s) (please identify below) |
|---|---|--|

## CORRESPONDENCE ADDRESS

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## SIGNATURE BLOCK

Respectfully submitted,  
  
  
Date: March 23, 2004  
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PATENT  
Attorney Docket No. LEX-010C1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Gillies *et al.*  
SERIAL NO.: 10/603,064 GROUP NO.: 1646  
FILING DATE: June 24, 2003 EXAMINER: Mertz, P.  
TITLE: MULTIPLE CYTOKINE PROTEIN COMPLEXES

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. §§ 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying copies of Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. References AA-A40, BA-B57 and CA-C107 were previously cited and made of record in parent application 09/634,368, on which the present application relies for an effective filing date under 35 U.S.C. § 120. As permitted under 37 C.F.R. § 1.98(d), copies of references AA-A40, BA-B57 and CA-C107 are not provided herewith.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

Applicants believe no fee is necessitated by this submission. If a fee is due, please debit deposit account 20-0531.

Respectfully submitted,



Brian A. Fairchild, Ph.D.

Attorney for Applicant

Testa, Hurwitz, & Thibault, LLP

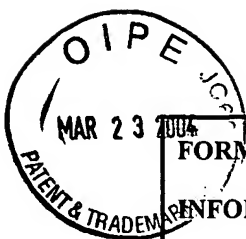
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FORM PTO - 1449

## INFORMATION DISCLOSURE STATEMENT

ATTY DOCKET NO.: LEX-010C1

APPLICANT: Gillies et al.

SERIAL NO.: 10/603,064

FILING DATE: June 24, 2003

GROUP: 1653

## U.S. PATENT DOCUMENTS

| EXAM.<br>INIT. |    | DOCUMENT<br>NUMBER | DATE     | NAME             | CLASS           | SUB<br>CLASS | FILING DATE IF<br>APPROPRIATE |
|----------------|----|--------------------|----------|------------------|-----------------|--------------|-------------------------------|
|                | AA | 5,314,995          | 5-24-94  | Fell, Jr. et al. | 530             | 351          | 1-22-90                       |
|                | AB | 5,114,711          | 5-19-92  | Bell et al.      | 424             | 85.1         | 7-13-89                       |
|                | AC | 5,073,627          | 12-17-91 | Curtis et al.    | 530             | 351          | 8-14-90                       |
|                | AD | 4,946,778          | 8-7-90   | Ladner et al.    | 435             | 69.6         |                               |
|                | AE | 4,676,980          | 6-30-87  | Segal et al.     | 424             | 85           | 9-23-85                       |
|                | AF | 4,469,797          | 9-4-84   | Albarella        | 436             | 536          | 9-23-82                       |
|                | AG | 4,196,265          | 4-1-80   | Koprowski et al. | 435             | 2            | 8-11-78                       |
|                | AH | 5,650,150          | 7-22-97  | Gillies          | 424             | 134.1        | 7-27-94                       |
|                | AI | 5,541,087          | 6-30-96  | Lo et al.        | 435             | 697          | 9-14-94                       |
|                | AJ | 5,726,044          | 3-10-98  | Lo et al.        | 435             | 69.7         | 9-14-95                       |
|                | AK | 5,843,423          | 12-1-98  | Lyman et al.     | 424             | 85.1         | 12-18-97                      |
|                | AL | 5,858,347          | 1-12-99  | Bauer et al.     | 424             | 85.2         | 6-6-95                        |
|                | AM | 5,908,626          | 6-1-99   | Chang et al.     | 424             | 134.1        | 12-19-97                      |
|                | AN | 5,199,942          | 4-6-93   | Gillis           | 604             | 4            | 9-26-91                       |
|                | AO | 07/348,237         |          | Rosenblum et al. |                 |              | 5-5-89                        |
|                | A1 | 4,816,567          | 3/28/89  | Cabilly et al.   | 530             | 387          |                               |
|                | A2 | 5,116,964          | 5/26/92  | Capon et al.     | 536             | 27           |                               |
|                | A3 | 5,225,538          | 7/6/93   | Capon et al.     | 530             | 387.3        |                               |
|                | A4 | 5,225,539          | 7/6/93   | Winter           | 530             | 387.3        |                               |
|                | A5 | 5,258,498          | 11/2/93  | Huston et al..   | 530             | 350.0        |                               |
|                | A6 | 5,349,053          | 9/20/94  | Landolfi         | 530             | 351          |                               |
|                | A7 | 5,514,582          | 5/7/96   | Capon et al.     | 435             | 252.3        |                               |
|                | A8 | 5,543,297          | 8/6/96   | Cromlish, et al. | 435             | 25           |                               |
|                | A9 | 5,552,524          | 09/03/96 | Basinski et al.  |                 |              |                               |
| EXAMINER       |    |                    |          |                  | DATE CONSIDERED |              |                               |

| <b>FORM PTO - 1449</b>                  |     |                            |             | <b>ATTY DOCKET NO.: LEX-010C1</b> |              |                      |                                       |
|---|-----|----------------------------|-------------|-----------------------------------|--------------|----------------------|---------------------------------------|
| <b>INFORMATION DISCLOSURE STATEMENT</b> |     |                            |             | <b>APPLICANT: Gillies et al.</b>  |              |                      |                                       |
|   |     |                            |             | <b>SERIAL NO.: 10/603,064</b>     |              |                      |                                       |
|   |     |                            |             | <b>FILING DATE: June 24, 2003</b> |              |                      |                                       |
|   |     |                            |             | <b>GROUP: 1653</b>                |              |                      |                                       |
| <b>U.S. PATENT DOCUMENTS</b>            |     |                            |             |                                   |              |                      |                                       |
| <b>EXAM.<br/>INIT.</b>                  |     | <b>DOCUMENT<br/>NUMBER</b> | <b>DATE</b> | <b>NAME</b>                       | <b>CLASS</b> | <b>SUB<br/>CLASS</b> | <b>FILING DATE IF<br/>APPROPRIATE</b> |
|   | A10 | 5,585,089                  | 12/17/96    | Queen et al.                      | 424          | 133.1                |                                       |
|   | A11 | 5,609,846                  | 3/11/97     | Goldenberg                        | 424          | 1.41                 |                                       |
|   | A12 | 5,639,725                  | 6/17/97     | O'Reilly et al.                   | 514          | 12                   |                                       |
|   | A13 | 5,650,492                  | 7/22/97     | Gately, et al.                    | 530          | 351                  |                                       |
|   | A14 | 5,667,776                  | 9/16/97     | Zimmerman et al.                  | 424          | 238                  |                                       |
|   | A15 | 5,691,309                  | 11/25/97    | Basinski et al.                   |              |                      |                                       |
|   | A16 | 5,719,266                  | 02/17/98    | DiMarchi et al.                   |              |                      |                                       |
|   | A17 | 5,723,125                  | 3/3/98      | Chang et al.                      | 424          | 134.1                |                                       |
|   | A18 | 5,726,044                  | 3/10/98     | Lo et al.                         |              |                      |                                       |
|   | A19 | 5,728,552                  | 3/17/98     | Fujisawa et al.                   | 435          | 69.5                 |                                       |
|   | A20 | 5,733,876                  | 3/31/98     | O'Reilly et al.                   | 514          | 12                   |                                       |
|   | A21 | 5,756,461                  | 05/26/98    | Stephens                          |              |                      |                                       |
|   | A22 | 5,759,551                  | 6/2/98      | Ladd et al.                       | 424          | 198.1                |                                       |
|   | A23 | 5,770,195                  | 6/23/98     | Hudziak et al.                    | 424          | 130.1                |                                       |
|   | A24 | 5,800,810                  | 9/1/98      | Doyle et al.                      | 424          | 85.2                 |                                       |
|   | A25 | 5,827,516                  | 10/27/98    | Urban et al.                      | 424          | 93.21                |                                       |
|   | A26 | 5,837,682                  | 11/17/98    | Folkman et al.                    | 514          | 12                   |                                       |
|   | A27 | 5,854,205                  | 12/29/98    | O'Reilly et al.                   | 514          | 2                    |                                       |
|   | A28 | 5,885,795                  | 3/23/99     | O'Reilly et al.                   | 435          | 69.1                 |                                       |
|   | A29 | 5,886,178                  | 3/23/99     | Allen et al.                      | 544          | 238                  |                                       |
|   | A30 | 5,994,126                  | 11/30/99    | Steinman et al.                   | 435          | 325                  |                                       |
|   | A31 | 6,080,409                  | 6/27/00     | Laus et al.                       | 424          | 192.1                |                                       |
|   | A32 | 6,086,875                  | 7/11/00     | Blumberg et al.                   | 424          | 134.1                |                                       |
|   | A33 | 6,169,070                  | 1/2/01      | Chen et al.                       |              |                      |                                       |
| <b>EXAMINER</b>                         |     |                            |             | <b>DATE CONSIDERED</b>            |              |                      |                                       |

| <b>FORM PTO - 1449</b>                  |     |                            |             | <b>ATTY DOCKET NO.: LEX-010C1</b> |              |                      |                                       |
|---|-----|----------------------------|-------------|-----------------------------------|--------------|----------------------|---------------------------------------|
| <b>INFORMATION DISCLOSURE STATEMENT</b> |     |                            |             | <b>APPLICANT: Gillies et al.</b>  |              |                      |                                       |
|   |     |                            |             | <b>SERIAL NO.: 10/603,064</b>     |              |                      |                                       |
|   |     |                            |             | <b>FILING DATE: June 24, 2003</b> |              |                      |                                       |
|   |     |                            |             | <b>GROUP: 1653</b>                |              |                      |                                       |
| <b>U.S PATENT DOCUMENTS</b>             |     |                            |             |                                   |              |                      |                                       |
| <b>EXAM.<br/>INIT.</b>                  |     | <b>DOCUMENT<br/>NUMBER</b> | <b>DATE</b> | <b>NAME</b>                       | <b>CLASS</b> | <b>SUB<br/>CLASS</b> | <b>FILING DATE IF<br/>APPROPRIATE</b> |
|   | A34 | 6,171,588                  | 1/9/01      | Carron et al.                     |              |                      |                                       |
|   | A35 | 6,100,387                  | 8/8/00      | Herrmann et al.                   |              |                      |                                       |
|   | A36 | 5,359,035                  | 10/25/94    | Habermann                         |              |                      |                                       |
|   | A37 | 5,645,835                  | 7/8/97      | Fell, Jr. et al.                  |              |                      |                                       |
|   | A38 | 5,807,715                  | 9/15/98     | Morrison et al.                   |              |                      |                                       |
|   | A39 | 5,922,685                  | 7/13/99     | Rakhmilevich et al.               |              |                      |                                       |
|   | A40 | 6,348,192                  | 2/19/02     | Chan et al.                       |              |                      |                                       |
|   | A41 | 4,703,008                  | 10/27/87    | Lin                               |              |                      |                                       |
|   | A42 | 5,019,368                  | 5/28/91     | Epstein et al.                    |              |                      |                                       |
|   | A43 | 5,441,868                  | 8/15/95     | Lin                               |              |                      |                                       |
|   | A44 | 5,457,038                  | 10/10/95    | Trinchieri et al.                 |              |                      |                                       |
|   | A45 | 5,538,866                  | 7/23/96     | Israeli et al.                    |              |                      |                                       |
|   | A46 | 5,547,933                  | 8/20/96     | Lin                               |              |                      |                                       |
|   | A47 | 5,618,698                  | 4/8/97      | Lin                               |              |                      |                                       |
|   | A48 | 5,624,821                  | 4/29/97     | Winter et al.                     |              |                      |                                       |
|   | A49 | 5,679,543                  | 10/21/97    | Lawlis                            |              |                      |                                       |
|   | A50 | 5,688,679                  | 11/18/97    | Powell                            |              |                      |                                       |
|   | A51 | 5,709,859                  | 1/20/98     | Aruffo et al.                     |              |                      |                                       |
|   | A52 | 5,756,349                  | 5/26/98     | Lin                               |              |                      |                                       |
|   | A53 | 5,856,298                  | 1/5/99      | Strickland                        |              |                      |                                       |
|   | A54 | 5,888,772                  | 3/30/99     | Okasinski et al.                  |              |                      |                                       |
|   | A55 | 5,955,422                  | 9/21/99     | Lin                               |              |                      |                                       |
|   | A56 | 6,231,536                  | 5/15/01     | Lentz                             |              |                      |                                       |
|   | A57 | 6,277,375                  | 8/21/01     | Ward                              |              |                      |                                       |
| <b>EXAMINER</b>                         |     |                            |             | <b>DATE CONSIDERED</b>            |              |                      |                                       |

| <b>FORM PTO - 1449</b>                  |     |                            |             | <b>ATTY DOCKET NO.: LEX-010C1</b> |              |                      |                                       |
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|   |     |                            |             | <b>SERIAL NO.: 10/603,064</b>     |              |                      |                                       |
|   |     |                            |             | <b>FILING DATE: June 24, 2003</b> |              |                      |                                       |
|   |     |                            |             | <b>GROUP: 1653</b>                |              |                      |                                       |
| <b>U.S. PATENT DOCUMENTS</b>            |     |                            |             |                                   |              |                      |                                       |
| <b>EXAM.<br/>INIT.</b>                  |     | <b>DOCUMENT<br/>NUMBER</b> | <b>DATE</b> | <b>NAME</b>                       | <b>CLASS</b> | <b>SUB<br/>CLASS</b> | <b>FILING DATE IF<br/>APPROPRIATE</b> |
|   | A58 | 6,284,536                  | 9/4/01      | Morrison et al.                   |              |                      |                                       |
|   | A59 | 6,335,176                  | 1/1/02      | Inglese et al.                    |              |                      |                                       |
|   | A60 | 6,340,742                  | 1/22/02     | Burg et al.                       |              |                      |                                       |
|   | A61 | 6,406,689                  | 6/18/02     | Falkenberg et al.                 |              |                      |                                       |
|   | A62 | 6,444,792                  | 9/3/02      | Gray et al.                       |              |                      |                                       |
|   | A63 | 6,475,717                  | 11/5/02     | Enssle et al.                     |              |                      |                                       |
|   | A64 | 6,485,726                  | 11/26/02    | Blumberg et al.                   |              |                      |                                       |
|   | A65 | 6,506,405                  | 1/14/03     | Desai et al.                      |              |                      |                                       |
|   | A66 | 6,583,272                  | 6/24/03     | Bailon                            |              |                      |                                       |
|   | A67 | 6,586,398                  | 7/1/03      | Kinstler et al.                   |              |                      |                                       |
|   | A68 | 6,617,135                  | 9/9/03      | Gillies et al.                    |              |                      |                                       |
|   | A69 | 2001/0053539               | 12/20/01    | Lauffer et al.                    |              |                      |                                       |
|   | A70 | 2002/0081664               | 6/27/02     | Lo et al.                         |              |                      |                                       |
|   | A71 | 2002/0142374               | 10/3/02     | Gallo et al.                      |              |                      |                                       |
|   | A72 | 2002/0147311               | 10/10/02    | Gillies et al.                    |              |                      |                                       |
|   | A73 | 2002/0192222               | 12/19/02    | Blumberg et al.                   |              |                      |                                       |
|   | A74 | 2002/0193570               | 12/19/02    | Gillies et al.                    |              |                      |                                       |
|   | A75 | 2003/0003529               | 1/2/03      | Bayer                             |              |                      |                                       |
|   | A76 | 2003/0044423               | 3/6/03      | Gillies et al.                    |              |                      |                                       |
|   | A77 | 2003/0049227               | 3/13/03     | Gillies et al.                    |              |                      |                                       |
|   | A78 | 2003/0105294               | 6/5/03      | Gillies et al.                    |              |                      |                                       |
|   | A79 | 2003/0012789               | 1/6/03      | Blumberg et al.                   |              |                      |                                       |
|   | A80 | 2003/0157054               | 8/21/03     | Gillies et al.                    |              |                      |                                       |
|   | A81 | 2003/0166163               | 9/4/03      | Gillies                           |              |                      |                                       |
| <b>EXAMINER</b>                         |     |                            |             | <b>DATE CONSIDERED</b>            |              |                      |                                       |

|   |     |                            |             |                                   |                        |                      |                                       |                          |                             |
|---|-----|----------------------------|-------------|-----------------------------------|------------------------|----------------------|---------------------------------------|--------------------------|-----------------------------|
| <b>FORM PTO - 1449</b>                  |     |                            |             | <b>ATTY DOCKET NO.: LEX-010C1</b> |                        |                      |                                       |                          |                             |
| <b>INFORMATION DISCLOSURE STATEMENT</b> |     |                            |             | <b>APPLICANT: Gillies et al.</b>  |                        |                      |                                       |                          |                             |
|   |     |                            |             | <b>SERIAL NO.: 10/603,064</b>     |                        |                      |                                       |                          |                             |
|   |     |                            |             | <b>FILING DATE: June 24, 2003</b> |                        |                      |                                       |                          |                             |
|   |     |                            |             | <b>GROUP: 1653</b>                |                        |                      |                                       |                          |                             |
| <b>U.S. PATENT DOCUMENTS</b>            |     |                            |             |                                   |                        |                      |                                       |                          |                             |
| <b>EXAM.<br/>INIT.</b>                  |     | <b>DOCUMENT<br/>NUMBER</b> | <b>DATE</b> | <b>NAME</b>                       | <b>CLASS</b>           | <b>SUB<br/>CLASS</b> | <b>FILING DATE IF<br/>APPROPRIATE</b> |                          |                             |
|   | A82 | 2003/0166877               | 9/4/03      | Gillies et al.                    |                        |                      |                                       |                          |                             |
| <b>FOREIGN PATENT DOCUMENTS</b>         |     |                            |             |                                   |                        |                      |                                       |                          |                             |
| <b>EXAM.<br/>INIT.</b>                  |     | <b>DOCUMENT<br/>NUMBER</b> | <b>DATE</b> | <b>COUNTRY<br/>CODE</b>           | <b>CLASS</b>           | <b>SUB<br/>CLASS</b> | <b>FILING<br/>DATE</b>                | <b>ABSTRACT<br/>ONLY</b> | <b>ENGLISH<br/>LANG Y/N</b> |
|   | BA  | W091/14438                 | 10-3-91     | PCT                               |                        |                      | 3-20-91                               |                          |                             |
|   | BB  | W091/13166                 | 09-05-91    | PCT                               |                        |                      | 1-30-91                               |                          |                             |
|   | BC  | 0 439 095 A2               | 7-31-91     | EPO                               |                        |                      | 1-21-91                               |                          |                             |
|   | BD  | 0 396 387 A2               | 11-7-90     | EPO                               |                        |                      | 5-1-90                                |                          |                             |
|   | BE  | 0 375 562                  | 6-27-90     | EPO                               |                        |                      |                                       |                          |                             |
|   | BF  | W0 90/03801                | 4-19-90     | PCT                               |                        |                      | 10-11-89                              |                          |                             |
|   | BG  | 0 314 317 A1               | 5-3-89      | EPO                               |                        |                      | 10-3-88                               |                          |                             |
|   | BH  | WO89/02922                 | 4-6-89      | PCT                               |                        |                      | 10-3-88                               |                          |                             |
|   | BI  | 0 308 936 A2               | 3-29-89     | EPO                               |                        |                      | 9-22-88                               |                          |                             |
|   | BJ  | WO88/09344                 | 12-1-88     | PCT                               |                        |                      | 5-19-88                               |                          |                             |
|   | BK  | 0 294 703 A2               | 12-14-88    | EPO                               |                        |                      | 6-1-88                                |                          |                             |
|   | BL  | WO88/00052                 | 1-14-88     | PCT                               |                        |                      | 7-6-87                                |                          |                             |
|   | BM  | WO86/01533                 | 3-13-86     | PCT                               |                        |                      | 9-3-85                                |                          |                             |
|   | BN  | 0 158 198 A1               | 10-16-85    | EPO                               |                        |                      | 3-23-85                               |                          |                             |
|   | BO  | WO93/10229                 | 5-27-93     | PCT                               |                        |                      | 11-19-92                              |                          |                             |
|   | BP  | WO97/24137                 | 7-10-97     | PCT                               |                        |                      | 12-13-96                              |                          |                             |
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|   | BR  | 0 601 043 B1               | 11-25-98    | EPO                               |                        |                      | 8-24-92                               |                          |                             |
|   | BS  | 0 326 120 B1               | 4-15-98     | EPO                               |                        |                      | 1-25-89                               |                          |                             |
|   | BT  | 37 12985 A1                | 11-3-88     | DE                                |                        |                      | 4-16-87                               |                          |                             |
|   | BU  | 93100115.3                 | 7-14-93     | CN                                |                        |                      | 2-6-93                                |                          |                             |
| <b>EXAMINER</b>                         |     |                            |             |                                   | <b>DATE CONSIDERED</b> |                      |                                       |                          |                             |



| <b>FORM PTO - 1449</b>                  |     |                            |             |                         | <b>ATTY DOCKET NO.: LEX-010C1</b> |                      |                        |                          |                             |
|---|-----|----------------------------|-------------|-------------------------|-----------------------------------|----------------------|------------------------|--------------------------|-----------------------------|
| <b>INFORMATION DISCLOSURE STATEMENT</b> |     |                            |             |                         | <b>APPLICANT: Gillies et al.</b>  |                      |                        |                          |                             |
|   |     |                            |             |                         | <b>SERIAL NO.: 10/603,064</b>     |                      |                        |                          |                             |
|   |     |                            |             |                         | <b>FILING DATE: June 24, 2003</b> |                      |                        |                          |                             |
|   |     |                            |             |                         | <b>GROUP: 1653</b>                |                      |                        |                          |                             |
| <b>FOREIGN PATENT DOCUMENTS</b>         |     |                            |             |                         |                                   |                      |                        |                          |                             |
| <b>EXAM.<br/>INIT.</b>                  |     | <b>DOCUMENT<br/>NUMBER</b> | <b>DATE</b> | <b>COUNTRY<br/>CODE</b> | <b>CLASS</b>                      | <b>SUB<br/>CLASS</b> | <b>FILING<br/>DATE</b> | <b>ABSTRACT<br/>ONLY</b> | <b>ENGLISH<br/>LANG Y/N</b> |
|   | BV  | 87-56676                   | 11-4-88     | JP                      |                                   |                      | 3-13-87                |                          |                             |
|   | BW  | 87-56677                   | 11-4-88     | JP                      |                                   |                      | 3-13-87                |                          |                             |
|   | BX  | WO00/11033                 | 3-2-00      | PCT                     |                                   |                      | 8-25-99                |                          |                             |
|   | BY  | WO00/40615                 | 7-13-00     | PCT                     |                                   |                      | 1-7-00                 |                          |                             |
|   | BZ  | 21725/88                   | 3-23-89     | AU                      |                                   |                      | 9-1-88                 |                          |                             |
|   | BBA | 211769                     | 2-25-87     | EPO                     |                                   |                      | 8-7-86                 |                          |                             |
|   | BBB | 319012                     | 6-7-89      | EPO                     |                                   |                      | 12-2-88                |                          |                             |
|   | BBC | 256714                     | 2-24-88     | EPO                     |                                   |                      | 7-30-87                |                          |                             |
|   | BBD | 350230                     | 1-10-90     | EPO                     |                                   |                      | 7-3-89                 |                          |                             |
|   | BBE | WO 88/09344                | 12-1-88     | WO                      |                                   |                      | 5-19-88                |                          |                             |
|   | BBF | WO 96/04388                | 02-15-96    | WO                      |                                   |                      | 7-28-95                |                          |                             |
|   | B1  | WO 89/02922                | 4/6/89      | PCT                     |                                   |                      | 10/3/88                |                          | Y                           |
|   | B2  | WO 89/09620                | 10/19/89    | PCT                     |                                   |                      |                        | English<br>Abstract      | N                           |
|   | B3  | WO 91/00360                | 1/10/91     | PCT                     |                                   |                      | 006                    |                          | Y                           |
|   | B4  | WO 91/08298                | 6/13/91     | PCT                     |                                   |                      | 006                    |                          | Y                           |
|   | B5  | WO 92/02240                | 2/20/92     | PCT                     |                                   |                      |                        |                          | Y                           |
|   | B6  | WO 92/08495                | 5/29/92     | PCT                     |                                   |                      |                        |                          | Y                           |
|   | B7  | WO 92/08801                | 5/29/92     | PCT                     |                                   |                      | 006                    |                          | Y                           |
|   | B8  | WO 92/16562                | 10/1/92     | PCT                     |                                   |                      |                        |                          | Y                           |
|   | B9  | WO 93/03157                | 2/18/93     | PCT                     |                                   |                      | 006                    |                          | Y                           |
|   | B10 | WO 95/05468                | 2/23/95     | PCT                     |                                   |                      | 002                    |                          | Y                           |
|   | B11 | WO 95/21258                | 8/10/95     | PCT                     |                                   |                      | 006                    |                          | Y                           |
|   | B12 | WO 96/05309                | 2/22/96     | PCT                     |                                   |                      | 008                    |                          | Y                           |
|   | B13 | WO 96/08570                | 3/21/96     | PCT                     |                                   |                      | 006                    |                          | Y                           |
| <b>EXAMINER</b>                         |     |                            |             |                         | <b>DATE CONSIDERED</b>            |                      |                        |                          |                             |

| <b>FORM PTO - 1449</b>                  |     |                            |             |                         | <b>ATTY DOCKET NO.: LEX-010C1</b> |                      |                        |                          |                             |
|---|-----|----------------------------|-------------|-------------------------|-----------------------------------|----------------------|------------------------|--------------------------|-----------------------------|
| <b>INFORMATION DISCLOSURE STATEMENT</b> |     |                            |             |                         | <b>APPLICANT: Gillies et al.</b>  |                      |                        |                          |                             |
|   |     |                            |             |                         | <b>SERIAL NO.: 10/603,064</b>     |                      |                        |                          |                             |
|   |     |                            |             |                         | <b>FILING DATE: June 24, 2003</b> |                      |                        |                          |                             |
|   |     |                            |             |                         | <b>GROUP: 1653</b>                |                      |                        |                          |                             |
| <b>FOREIGN PATENT DOCUMENTS</b>         |     |                            |             |                         |                                   |                      |                        |                          |                             |
| <b>EXAM.<br/>INIT.</b>                  |     | <b>DOCUMENT<br/>NUMBER</b> | <b>DATE</b> | <b>COUNTRY<br/>CODE</b> | <b>CLASS</b>                      | <b>SUB<br/>CLASS</b> | <b>FILING<br/>DATE</b> | <b>ABSTRACT<br/>ONLY</b> | <b>ENGLISH<br/>LANG Y/N</b> |
|   | B14 | WO 96/18412                | 6/20/96     | PCT                     |                                   |                      | 002                    |                          | Y                           |
|   | B15 | WO 96/31526                | 10/10/96    | PCT                     |                                   |                      | 008                    |                          | Y                           |
|   | B16 | WO 97/00317                | 9/18/97     | PCT                     |                                   |                      | 003                    |                          | Y                           |
|   | B17 | WO 97/00319                | 1/3/97      | PCT                     |                                   |                      | 002                    |                          | Y                           |
|   | B18 | WO 97/15666                | 5/1/97      | PCT                     |                                   |                      | 004                    |                          | Y                           |
|   | B19 | WO 97/20062                | 6/5/97      | PCT                     |                                   |                      | 003                    |                          | Y                           |
|   | B20 | WO 97/24440                | 7/10/97     | PCT                     |                                   |                      | 008                    |                          | Y                           |
|   | B21 | WO 97/26335                | 7/24/97     | PCT                     |                                   |                      | 008                    |                          | Y                           |
|   | B22 | WO 97/30089                | 8/21/97     | PCT                     |                                   |                      |                        |                          | Y                           |
|   | B23 | WO 97/33617                | 9/18/97     | PCT                     |                                   |                      | 002                    |                          | Y                           |
|   | B24 | WO 97/33619                | 1/3/97      | PCT                     |                                   |                      | 003                    |                          | Y                           |
|   | B25 | WO 97/34631                | 9/25/97     | PCT                     |                                   |                      | 002                    |                          | Y                           |
|   | B26 | WO 98/00127                | 1/8/98      | PCT                     |                                   |                      |                        |                          | Y                           |
|   | B27 | WO 98/06752                | 2/19/98     | PCT                     |                                   |                      | 008                    |                          | Y                           |
|   | B28 | WO 98/28427                | 7/2/98      | PCT                     |                                   |                      | 008                    |                          | Y                           |
|   | B29 | WO 98/30706                | 7/16/98     | PCT                     |                                   |                      | 007                    |                          | Y                           |
|   | B30 | WO 98/46257                | 10/98       | PCT                     |                                   |                      | 008                    |                          | Y                           |
|   | B31 | WO 99/43713                | 9/2/99      | PCT                     |                                   |                      |                        |                          | Y                           |
|   | B32 | WO 99/62944                | 12/09/99    | PCT                     |                                   |                      |                        |                          | Y                           |
|   | B33 | EP 0 294703A2              |             | EP                      |                                   |                      |                        |                          | Y                           |
|   | B34 | EP 0 314317 A1             |             | EP                      |                                   |                      |                        |                          | Y                           |
|   | B35 | EP 0 439 095 A2            |             | EP                      |                                   |                      |                        |                          | Y                           |
|   | B36 | EP 0 511 747               | 11/4/92     | EP                      |                                   |                      |                        |                          | Y                           |
|   | B37 | EP 0 706 799 A3            | 4/17/96     | EP                      |                                   |                      |                        |                          | Y                           |
|   | B38 | 0 790 309 A1               | 8/20/97     | EPO                     |                                   |                      | 002                    |                          | Y                           |
| <b>EXAMINER</b>                         |     |                            |             |                         | <b>DATE CONSIDERED</b>            |                      |                        |                          |                             |

| <b>FORM PTO - 1449</b>                  |     |                            |             |                         | <b>ATTY DOCKET NO.: LEX-010C1</b> |                      |                        |  |                                  |
|---|-----|----------------------------|-------------|-------------------------|-----------------------------------|----------------------|------------------------|--|----------------------------------|
| <b>INFORMATION DISCLOSURE STATEMENT</b> |     |                            |             |                         | <b>APPLICANT: Gillies et al.</b>  |                      |                        |  |                                  |
|   |     |                            |             |                         | <b>SERIAL NO.: 10/603,064</b>     |                      |                        |  |                                  |
|   |     |                            |             |                         | <b>FILING DATE: June 24, 2003</b> |                      |                        |  |                                  |
|   |     |                            |             |                         | <b>GROUP: 1653</b>                |                      |                        |  |                                  |
| <b>FOREIGN PATENT DOCUMENTS</b>         |     |                            |             |                         |                                   |                      |                        |  |                                  |
| <b>EXAM.<br/>INIT.</b>                  |     | <b>DOCUMENT<br/>NUMBER</b> | <b>DATE</b> | <b>COUNTRY<br/>CODE</b> | <b>CLASS</b>                      | <b>SUB<br/>CLASS</b> | <b>FILING<br/>DATE</b> | <b>ABSTRACT ONLY</b>                                       | <b>ENGLIS<br/>H LANG<br/>Y/N</b> |
|   | B39 | GB 2292382 A               | 2/21/96     | GB                      |                                   |                      |                        |  | Y                                |
|   | B40 | WO 91/04329A1              | 04/04/91    | PCT                     |                                   |                      | 08/01/90               |  | Y                                |
|   | B41 | WO 00/69913A1              | 11/23/02    | PCT                     |                                   |                      | 05/19/00               |  | Y                                |
|   | B42 | WO 98/59244                | 12/30/98    | PCT                     |                                   |                      |                        | N  | Y                                |
|   | B43 | WO 99/02709                | 01/21/99    | PCT                     |                                   |                      |                        | N  | Y                                |
|   | B44 | WO 99/03887                | 01/28/99    | PCT                     |                                   |                      |                        | N  | Y                                |
|   | B45 | WO 00/34317                | 06/15/00    | PCT                     |                                   |                      |                        | N  | Y                                |
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|   | B47 | WO 99/29732                | 6/17/99     | PCT                     |                                   |                      |                        |  | Y                                |
|   | B48 | WO 01/07081<br>A1          | 2/1/01      | PCT                     |                                   |                      |                        |  | Y                                |
|   | B49 | WO 99/53958                | 10/28/99    | PCT                     |                                   |                      |                        |  | Y                                |
|   | B50 | 93100115.3                 | 7/14/93     | CN                      |                                   |                      |                        | English abstract of BU                                     | Y                                |
|   | B51 | 37 12985                   | 11/3/88     | DE                      |                                   |                      |                        | English abstract of BT<br>A36 is English counter-<br>part. | Y                                |
|   | B52 | 63-267278                  | 11/4/88     | JP                      |                                   |                      |                        | English abstract of<br>BW                                  | Y                                |
|   | B53 | 63-267296                  | 11/4/88     | JP                      |                                   |                      |                        | English abstract of BV                                     | Y                                |
|   | B54 | 0 237 019                  | 9/16/87     | EP                      |                                   |                      |                        | English counterpart of<br>BV                               | Y                                |
|   | B55 | 0 318 554 B1               | 4/5/95      | EP                      |                                   |                      |                        |  | Y                                |
|   | B56 | WO 97/24440                | 7/10/97     | PCT                     |                                   |                      |                        |  | Y                                |
|   | B57 | WO 99/60128                | 11/25/99    | PCT                     |                                   |                      |                        |  | Y                                |
|   | B58 | 0 640 619 A1               | 3/1/95      | EP                      |                                   |                      |                        |  | Y                                |
|   | B59 | 0 668 353 A1               | 8/23/95     | EP                      |                                   |                      |                        |  | Y                                |
| <b>EXAMINER</b>                         |     |                            |             |                         | <b>DATE CONSIDERED</b>            |                      |                        |  |                                  |

| <b>FORM PTO – 1449</b>                  |     |                            |             |                         | <b>ATTY DOCKET NO.: LEX-010C1</b> |                      |                             |                      |                                  |
|---|-----|----------------------------|-------------|-------------------------|-----------------------------------|----------------------|-----------------------------|----------------------|----------------------------------|
| <b>INFORMATION DISCLOSURE STATEMENT</b> |     |                            |             |                         | <b>APPLICANT: Gillies et al.</b>  |                      |                             |                      |                                  |
|   |     |                            |             |                         | <b>SERIAL NO.: 10/603,064</b>     |                      |                             |                      |                                  |
|   |     |                            |             |                         | <b>FILING DATE: June 24, 2003</b> |                      |                             |                      |                                  |
|   |     |                            |             |                         | <b>GROUP: 1653</b>                |                      |                             |                      |                                  |
| <b>FOREIGN PATENT DOCUMENTS</b>         |     |                            |             |                         |                                   |                      |                             |                      |                                  |
| <b>EXAM.<br/>INIT.</b>                  |     | <b>DOCUMENT<br/>NUMBER</b> | <b>DATE</b> | <b>COUNTRY<br/>CODE</b> | <b>CLASS</b>                      | <b>SUB<br/>CLASS</b> | <b>FILIN<br/>G<br/>DATE</b> | <b>ABSTRACT ONLY</b> | <b>ENGLIS<br/>H LANG<br/>Y/N</b> |
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|   | B61 | WO 94/24160                | 10/27/94    | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B62 | WO 94/25055                | 11/10/94    | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B63 | WO 95/31483                | 11/23/95    | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B64 | WO 97/43316                | 11/20/97    | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B65 | WO 99/66054                | 12/23/99    | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B66 | WO 00/24893                | 5/4/00      | PCT                     |                                   |                      |                             |                      |                                  |
|   | B67 | WO 00/68376                | 11/16/00    | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B68 | WO 00/78334                | 12/28/00    | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B69 | WO 01/10912                | 2/15/01     | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B70 | WO 01/36489                | 5/25/01     | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B71 | WO 01/58957                | 8/16/01     | PCT                     |                                   |                      |                             |                      |                                  |
|   | B72 | WO 02/02143                | 1/10/02     | PCT                     |                                   |                      |                             |                      |                                  |
|   | B73 | WO 02/066514               | 8/29/02     | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B74 | WO 02/072605               | 9/19/02     | PCT                     |                                   |                      |                             |                      |                                  |
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|   | B77 | WO 02/090566               | 11/14/02    | PCT                     |                                   |                      |                             |                      |                                  |
|   | B78 | WO 03/015697               | 2/27/03     | PCT                     |                                   |                      |                             |                      | Y                                |
|   | B79 | WO 03/048334               | 6/12/03     | PCT                     |                                   |                      |                             |                      |                                  |
|   | B80 | WO 03/077834               | 9/25/03     | PCT                     |                                   |                      |                             |                      | Y                                |
| <b>EXAMINER</b>                         |     |                            |             |                         | <b>DATE CONSIDERED</b>            |                      |                             |                      |                                  |

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| <b>FORM PTO – 1449</b><br><br><b>INFORMATION DISCLOSURE STATEMENT</b> |   | ATTY DOCKET NO.: LEX-010C1<br><br>APPLICANT: Gillies et al.<br><br>SERIAL NO.: 10/603,064<br><br>FILING DATE: June 24, 2003<br><br>GROUP: 1653   |
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|   | CB  | Hoogenboom et al., <u>Biochim. and Biophys. Acta</u> , <u>1096</u> :345-354 (1991) (Abstract).   |
|   | CC  | Gillies et al., "Antigen binding and biological activities of engineered mutant chimeric antibodies with human tumor specificities", <u>Hum. Antibod. Hybridomas</u> , <u>1</u> (No. 1):47-54 (1990).  |
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|   | CI  | Pastan et al., "Pseudomonas Exotoxin: Chimeric Toxins", <u>J. Biol. Chem.</u> , <u>264</u> (No. 26):15157-15160 (1989).  |
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|   | CQ  | Goeddel et al., "Tumor Necrosis Factors; Gene Structure and Biological Activities", pp. 597-609 (1986).  |
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|                                   |  | SERIAL NO.: 10/603,064  |  |
|                                   |  | FILING DATE: June 24, 2003  |  |
|                                   |  | GROUP: 1653   |  |
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|                                   | CU   | Santon et al., "Effects of Epidermal Growth Factor Receptor Concentration on Tumorigenicity of A431 Cells in Nude Mice", <u>Cancer Research</u> , <u>46</u> :4701-4705 (1986).  |  |
|                                   | CV   | Shen et al., "Heteroantibody-Mediated Cytotoxicity: Antibody to the High Affinity Fc Receptor for IgG mediates cytotoxicity by Human Monocytes that is enhanced by interferon- $\lambda$ and is not blocked by human IgG", <u>J. Immunology</u> <u>137</u> (No. 11):3378-3382 (1986). |  |
|                                   | CW   | Henkart, "Mechanism of Lymphocyte-Mediated Cytotoxicity", <u>Ann. Rev. Immunol.</u> , <u>3</u> :31-58 (1985).   |  |
|                                   | CX   | Liu et al., "Heteroantibody Duplexes Target Cells for Lysis by Cytotoxic T Lymphocytes", <u>Proc. Natl. Acad. Sci. USA</u> , <u>82</u> :8648-8652 (1985).   |  |
|                                   | CY   | Nedwin et al., "Human Lymphotoxin and Tumor Necrosis Factor Genes: Structure, Homology and Chromosomal Localization", <u>Nucleic Acids Research</u> , <u>13</u> (No. 17):6361-6373 (1985).  |  |
|                                   | CZ   | Gasson et al., "Purified Human Granulocyte Macrophage Colony-Stimulating Factor: Direct Action on Neutrophils", <u>Science</u> , <u>226</u> :1339-1339-1342 (1984).   |  |
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